Incident Reporting
July 22, 2020
A little history

• In 2018 DHS consolidated all incident reporting to Office of Licensing and all monitoring functions to the Office of Licensing and Office of Quality and Design.
  – OL= minimum health and safety standards of licensees
  – OQD=higher quality expectations through contracts
  – Whenever we share a provider, we coordinate investigative efforts to minimize the Department “touch” on these providers
• Rules and processes were collaboratively agreed upon by all DHS Divisions
• DSPD incidents posed unique challenges due to person vs site-centered focus, existing interface and DOH/Medicaid requirements causing us to learn and evolve.
OL Philosophy

- Technical assistance toward compliance/non-punitive
- Team approach
- Client health and safety is priority
- Site based (provider, staff, policies, facility, governance etc)
- Incident reports and Investigations are different and have distinct time frames. Investigations usually include site visits, however not all reported incidents result in a full investigation by OL
- Only enforce rule and statutes (find on our website: www.hslic.utah.gov)
  - R501-1 General Provisions defines & governs critical incidents
Support Coordinator Responsibilities in Incident Management

• Assist providers in meeting incident reporting requirements
• Meet priority time frames on reports and investigations
• Answer DOH questions in a timely manner
• Coordinate with OL for licensed providers (OQD for non-licensed)
  – OL will enforce any provider requirements that you identify (as long as there’s a rule to support it)

• How to find out if a facility is licensed:
  – Ask provider
  – OL website search www.hslic.utah.gov (Find a licensed program)
  – DSPD certified homes are certified (not licensed) by OL, but monitored by OQD
COMING SOON (to better support your work)

• Simplify the reporting process with a “Full-Kit” in UPI (by spring 2021) to automate:
  – classification of levels
  – notifications to related parties
  – identification of licensure
  – deadlines
• DOH will directly be issuing questions (no more OL go-between)

• Update training slides on DSPD website
• Handbook to assist you in providing complete info in your reports
• Critical Incident Reporting Guide with incident examples and reporting guidance
• These will be directly shared via email and on websites as soon as available (Aug 2020)
Resources and Contacts

• **UPI System**

• **Incident Report Team**
  – [licensingconcerns@utah.gov](mailto:licensingconcerns@utah.gov); [OQDproviderquality@utah.gov](mailto:OQDproviderquality@utah.gov)
  – Travis Broderick (OL): 385-246-6206  Laura Roe (OL): 801-779-6714; Serena Hubert (OL): 385-327-3430; Jessica Hooper (OQD) 801-803-3675

• **USTEPS Team**
  – [usteps@utah.gov](mailto:usteps@utah.gov)
  – 801-698-7431

• **DSPD Web Page Reference Materials (Provider tab)**
  – [dspd.utah.gov](http://dspd.utah.gov)
    • Access Forms
    • User Guides

• **OL Web Page:**
  – [hslic.utah.gov](http://hslic.utah.gov)